



United States Patent and Trademark Office

UNITED STATES DEPARTMENT OF COMMERCE United States Patent and Trademark Office Address: COMMISSIONER OF PATENTS AND TRADEMARKS Washington, D.C. 20231 www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.	
09/324,568	06/02/1999	ADRIAN O. MANCINI	0500.01327	1726	
7:	590 03/24/2003	*			
CHRISTOPHER J. RECKAMP			EXAMINER		
MARKISON & RECKAMP, P.C. P.O. BOX 06229 WACKER DRIVE CHICAGO, IL 606060229			ZAND, K	ZAND, KAMBIZ	
			ART UNIT	PAPER NUMBER	
			2132	२	
		DATE MAILED: 03/24/2003			

Please find below and/or attached an Office communication concerning this application or proceeding.

PTO-90C (Rev. 07-01)

	Application No.	Applicant(s)				
	09/324,568	MANCINI ET AL.				
Office Action Summary	Examiner	Art Unit				
	Kambiz Zand	2132				
The MAILING DATE of this communication app Period for Reply	ears on the cover sheet with the c	orrespondence address				
A SHORTENED STATUTORY PERIOD FOR REPLY THE MAILING DATE OF THIS COMMUNICATION. - Extensions of time may be available under the provisions of 37 CFR 1.13 after SIX (6) MONTHS from the mailing date of this communication. - If the period for reply specified above is less than thirty (30) days, a reply If NO period for reply is specified above, the maximum statutory period w Failure to reply within the set or extended period for reply will, by statute, Any reply received by the Office later than three months after the mailing earned patent term adjustment. See 37 CFR 1.704(b). Status	36(a). In no event, however, may a reply be timed within the statutory minimum of thirty (30) days will apply and will expire SIX (6) MONTHS from cause the application to become ABANDONE	nely filed s will be considered timely. the mailing date of this communication. D (35 U.S.C. § 133).				
1) Responsive to communication(s) filed on <u>02 J</u>	<u>une 1999</u> .					
2a) This action is FINAL . 2b) ☑ Thi	is action is non-final.					
3) Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under <i>Ex parte Quayle</i> , 1935 C.D. 11, 453 O.G. 213.						
Disposition of Claims 4) ☐ Claim(s) 1-21 is/are pending in the application						
4a) Of the above claim(s) is/are withdraw						
i) Claim(s) is/are allowed.						
6)⊠ Claim(s) <u>1-21</u> is/are rejected.						
7) Claim(s) is/are objected to.						
8) Claim(s) are subject to restriction and/or	r election requirement.					
Application Papers						
9) The specification is objected to by the Examiner.						
10)⊠ The drawing(s) filed on <u>02 June 1999</u> is/are: a)□ accepted or b)⊠ objected to by the Examiner.						
Applicant may not request that any objection to the						
11)☐ The proposed drawing correction filed on is: a)☐ approved b)☐ disapproved by the Examiner.						
If approved, corrected drawings are required in reply to this Office action.						
12)☐ The oath or declaration is objected to by the Examiner.						
Priority under 35 U.S.C. §§ 119 and 120						
13) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).						
a) All b) Some * c) None of:						
1. Certified copies of the priority documents have been received.						
2. Certified copies of the priority documents have been received in Application No						
 3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)). * See the attached detailed Office action for a list of the certified copies not received. 						
14) Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).						
 a) ☐ The translation of the foreign language provisional application has been received. 15)☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121. 						
Attachment(s)						
1) Notice of References Cited (PTO-892) 2) Notice of Draftsperson's Patent Drawing Review (PTO-948) 3) Information Disclosure Statement(s) (PTO-1449) Paper No(s)	5) Notice of Informal F	(PTO-413) Paper No(s) Patent Application (PTO-152)				
S. Patent and Trademark Office						

Art Unit: 2132

DETAILED ACTION

1. Claims 1-21 have been examined.

Drawings

- 2. New formal drawings are required in this application because original drawings by the applicant were objected to by the Draftsperson under 37 CFR 1.84 or 1.152. Please see attached PTO-948.
- 3. The drawings are objected to as failing to comply with 37 CFR 1.84(p)(5) because they do not include the following reference sign(s) mentioned in the description Page 5 lines 6, 8 and 9 item "14a"; page 11, line 28-page 12, line 20 items "30", "12", "32", "38", "44", "46", "40" and "18". Correction is required.
- 4. The drawings are objected to as failing to comply with 37 CFR 1.84(p)(4) because reference character "20a" in fig. 2 has been used to designate both connections to repository 18 and certificate verifier 36 in contrast with fig.2 wherein it appears that 20a connections to item "18" is not the same connection to item "36". Correction is required.

Claim Rejections - 35 USC § 112

5. The following is a quotation of the second paragraph of 35 U.S.C. 112:

Art Unit: 2132

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter, which the applicant regards as his invention.

6. Claims 5-6, 8, 13-14, 17-19 and 20 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

7. Claims 5, 6, 17, 19 and 20 recites the limitation "the trust anchor modification data" in the claim. There is insufficient antecedent basis for this limitation in the claim. Also note "a trust anchor modification data certificate issuer" in the claim 5 does not provide sufficient antecedent basis for this limitation.

Claims 8 and 13 recites the limitation "subordinate authority memory" in the claim.

There is insufficient antecedent basis for this limitation in the claim.

Claim Objections

8. Claims 1-21 are objected to because of the following informalities: Examiner suggests insertion of "a" before "subordinate authorities" in line 4 of claims 1, 9 and 15; "an" before "inter trusted" in line 5 of claims 1 and 15, in line 7 of claim 9; "a" before "dynamically" in line 6 of claim 1, in line 8 of claim 9 and in line 5 of claim 15.

Appropriate correction is requested.

Art Unit: 2132

Claim Rejections - 35 USC § 102

9. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless -

(b) The invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

10. Claims 1-21 are rejected under 35 U.S.C. 102(b) as being anticipated by Abadi et al (5,315,657 A).

As per claims 1 and 15 Abadi et al (5,315,657 A) teach an information security system and method comprising: a plurality of trusted authorities configurable in a rooted hierarchical structure (see col.7, lines 40-47) including at least one of the trusted authorities being a superior authority (see col.7, lines 27-29) and at least one of the trusted authorities being a subordinate authorities (see col.7, lines 45-48); and the superior authority operative to generate an inter trust authority modification data to a dynamically vary validation starting authorities among the subordinate authorities (see 66-68 and col.8, lines 1-2 wherein an inter trust between the different certificate authorities is being implemented by cross-certifying each other wherein their root is a common ancestor). Also see col.6, lines 58-68; col.7, lines 1-28; col.8, lines 55-68 and

Application/Control Number: 09/324,568

Art Unit: 2132

col.9 for more detailed inter trust between different authorities, their certification and verification.

As per claims 2 and 16 Abadi et al (5,315,657 A) teach the system and method of claims 1 and 15 wherein at least one of the subordinate authorities includes a certificate issuer operatively responsive to the inter trusted authority modification data for issuing certificate for at least one subscriber based on the inter trusted authority modification data (see col.7, lines 48-65 and col.col.8, lines 12-44 wherein the request for certification that is the modified data is being certified by inter trust authorities by issuing a signed certificate).

As per claims 3 and 17 Abadi et al (5,315,657 A) teach the system and method of claims 1 and 15 wherein at least one of the subordinate authorities includes a subscriber trust anchor specifier, operatively responsive to the inter trusted authority modification data, that generates trust modification data for a plurality of subscribers (see col.9, lines 24-54).

Claim 9 is combination of claims 1-3 and therefore Abadi et al (5,315,657 A) teach all limitation of the claim as being rejected based on rejection of claims 1-3 above.

As per claims 4, 10 and 18 Abadi et al (5,315,657 A) teach the system and method of claims 3, 9 and 17 wherein the trust anchor modification data includes subordinate trust

Art Unit: 2132

anchor data representing at least one trust anchor different from a local trust authority (see col.66-68 and col.8, lines 1-2 wherein one of the user is not certified by a local trust authority and that's why cross certification is being done between them in order to create a trust).

As per claims 5, 11 and 19 Abadi et al (5,315,657 A) teach the system and method of claims 1, 10 and 15 wherein the superior authority includes a trust anchor modification data certificate issuer that provides the trust anchor modification data as a signed data structure for the subordinate authorities (see col.7, lines 50-53 and col.8, lines 42-44 wherein all new certification are signed representing signed data structure).

As per claims 6, 12 and 20 Abadi et al (5,315,657 A) teach the system and method of claims 1, 9 and 15 wherein the trust anchor modification data includes data representing at least one of: scope of certification data, subordinate authority cross-certification allowance data, subordinate authority certification rule data, subordinate authority password rule data, subscriber trust anchor rule data and subscriber password rule data, certificate expiry policy, subscriber algorithm policy, and policy control message data (see as an example col.7, lines 66-68 and col.8, lines 1-2 for cross-certification data; col.8, lines 45-52 for certificate expiry policy).

Application/Control Number: 09/324,568

Art Unit: 2132

As per claims 7 and 13 Abadi et al (5,315,657 A) teach the system and method of claims 1 and 12 wherein one of the trusted authorities is a root authority (see col.7, lines 53-55).

Page 7

As per claims 8, 14 and 21 Abadi et al (5,315,657 A) teach the system and method of claims 1, 13 and 15 including subordinate authority memory containing data representing validation starting authority data, wherein the data is stored in response to receiving the inter trusted authority trust modification (see col.8, lines 42-44; col.10, lines 7-24).

Conclusion

- 11. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure:
 - U.S.Patent No. US (5,958,050 A) teach trusted delegation system.
 - U.S.Patent No. US (6,532,451 B1)) teach nesting strong loader apparatus and method.
 - U.S.Patent No. US (6,167,521 A) teach securely downloading and executing code from mutually auspicious authorities.
 - U.S.Patent No. US (6,189,103 B1) teach authority delegation with secure operating system queues.

U.S.Patent No. US (6,105,027 A) teach techniques for eliminating redundant access checking by access filters.

U.S.Patent No. US (6,408,336 B1) teach distributed administration of access to information.

U.S.Patent No. US (6,256,741 B1) teach specifying security protocols and policy constraints in distributed systems.

U.S.Patent No. US (6,304,973 B1) teach multi-level security network.

U.S.Patent No. US (6,006,332 A) teach rights management system for digital media.

U.S.Patent No. US (6,304,974 B1) teach method and apparatus for managing trusted certificates.

12. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Kambiz Zand whose telephone number is (703) 306-4169. The examiner can normally reached on Monday-Thursday (8:00-5:00). If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gilberto Barron can be reached on (703) 305-1830. The fax phone numbers for the organization where this application or proceeding is assigned are as follows:

After-Final (703) 746-7238

Official (703) 746-7239

Non-Official/Draft (703) 746-7240

Application/Control Number: 09/324,568

Art Unit: 2132

GILBERTO BARRON
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2100

Page 9